



Substitute Form PTO-1449
(Modified)

U.S. Department of Commerce
Patent and Trademark Office

Attorney's Docket No.
09857-054001

Application No.
09/758,967

**Information Disclosure Statement
by Applicant**
(Use several sheets if necessary)

(37 CFR 1.98(b))

Applicant
Steven M. Bloom et al.

Filing Date
January 11, 2001

Group Art Unit
2164 3628

U.S. Patent Documents

Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
AM	AA	6,035,287		Stallaert et al.	705	37	3/7/00
AM	AB	6,278,983		Ball	705	37	8/21/01
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						

Foreign Patent Documents or Published Foreign Patent Applications

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation
							Yes <input type="checkbox"/> No <input type="checkbox"/>
	AL						
	AM						
	AN						
	AO						
	AP						

Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
	AQ	
	AR	
	AS	
	AT	

RECEIVED
OCT 22 2003
GROUP 3600

Examiner Signature *Nga Nguyen*

Date Considered

6/23/04

EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 09857-054001	Application No. <u>09/758,967</u>
Information Disclosure Statement by Applicant (Use several sheets if necessary)		Applicant Steven M. Bloom et al.	U.S. PRO JC971 U.S. PRO 09/758,967 01/11/01
(37 CFR §1.98(b))		Filing Date 3628	

U.S. Patent Documents							
Examiner Initial	Desig. ID	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date If Appropriate
	AA						
	AB						
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						

Foreign Patent Documents or Published Foreign Patent Applications							
Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
	AL						
	AM						
	AN						
	AO						
	AP						

Other Documents (include Author, Title, Date, and Place of Publication)							
Examiner Initial	Desig. ID	Document					
<i>MM</i>	AQ	Nasdaq-100 Index Tracking Stock, Brochure 9/15/00					
<i>MM</i>	AR	Nasdaq -100 Index Tracking Stock Specifications 9/12/00					
<i>MM</i>	AS	Nasdaq - 100 Index Tracking Stock Prospectus 6/30/2000					
	AT	Nasdaq - 100 Index Tracking Stock Prospectus 6/30/2000					

Examiner Signature <i>Nga Nguyen</i>	Date Considered <i>6/23/04</i>
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	